

Federal Deposit Insurance Corporation

Pt. 304, App. A

Trust and Survey Group, Division of Supervision, FDIC, 550 17th Street, NW, Washington, D.C. 20429.

(d) *Form FFIEC 002: Report of Assets and Liabilities of U.S. Branches and Agencies of Foreign Banks.* Form FFIEC 002 is a report in the form of a statement of the assets and liabilities of U.S. branches and agencies of foreign banks together with supporting schedules that request additional detail with respect to selected assets and liabilities, off-balance sheet items, and, in the case of insured branches, information for assessment purposes. All assets and liabilities, including contingent assets and liabilities, must be reported in, or otherwise taken into account in the preparation of, this report. Insured branches must also submit annually such information on small business and small farm lending as the FDIC may need to assess the availability of credit to these sectors of the economy. The report must be prepared in accordance with the instructions contained in the instruction booklet for the report, copies of which are furnished to all U.S. branches and agencies of foreign banks by the Federal Reserve System. The Board of Governors of the Federal Reserve System collects and processes the report on behalf of FDIC-supervised branches. The report is submitted quarterly to the appropriate Federal Reserve district bank.

(e) *Form FFIEC 004: Report on Indebtedness of Executive Officers and Principal Shareholders and their Related Interests to Correspondent Banks.* Form FFIEC

004 is a recommended form that may be used by the executive officers and principal shareholders of an insured state nonmember bank to report to the board of directors of their bank on their indebtedness (and that of their related interests) to correspondent banks, as required by part 349 of this chapter. The reports or any form containing identical information must be submitted to the bank's board of directors by January 31 of each year and cover indebtedness to correspondent banks during the preceding calendar year. Form FFIEC 004 is mailed annually by the FDIC to each insured state nonmember bank.

[62 FR 4897, Feb. 3, 1997]

§ 304.6 [Reserved]

§ 304.7 Display of control numbers.

The following sections of this part of FDIC's regulations containing collection of information requirements are listed with the control numbers assigned by the Office of Management and Budget:

Section of 12 CFR Part 304	Currently Assigned OMB Control No.
304.3	3064-0057
304.4(a)	3064-0052
304.4(b)	3064-0054
304.5(a)	3064-0061
304.5(b)	3064-0029
304.5(c)	3064-0024
304.5(d)	7100-0032
304.5(e)	3064-0023

APPENDIX A TO PART 304—LIST OF FORMS

NOTE: See footnotes at end of table.

Form	Title	Section of FDICs regulations (12 CFR chapter III) where the form is referenced	OMB No.
FDIC 6112/01	Initial Statement of Beneficial Ownership of Equity Securities (Form F-7).	335.413	3064-0030
FDIC 6112/02	Statement of Changes in Beneficial Ownership of Equity Securities (Form F-8).	335.414	3064-0030
FDIC 6120/06	Notification of Bank Services	304.5(b)	3064-0029
FDIC 6200/05	Application for Federal Deposit Insurance (Commercial Banks).	303.1	3064-0001
FDIC 6200/06	Financial Report	(¹)	3064-0006
FDIC 6200/07	Application for Federal Deposit Insurance for Operating Noninsured Institutions.	303.1	3064-0069
FDIC 6200/09	Application for Consent to Exercise Trust Powers	(²)	3064-0025
FDIC 6220/01	Application for a Merger or Other Transaction Pursuant to Section 19(c) of the Federal Deposit Insurance Act.	303.3	3064-0016

Form	Title	Section of FDICs regulations (12 CFR chapter III) where the form is referenced	OMB No.
FDIC 6220/07	Application for a Merger or Other Transaction Pursuant to Section 18(c) of the Federal Deposit Insurance Act (Phantom or Corporate Reorganization).	303.7(b)(1) and 303.3	3064–0015
FDIC 6342/12	Request for Deregistration Registered Transfer Agent.	341.5	3064–0027
FDIC 6420/07	Certified Statement	304.3(a)	3064–0057
FDIC 6440/12	Loan/Application Register	338.8 ⁽³⁾	7100–0247
FDIC 6710/06	Suspicious Activity Report	353.1	3064–0077
FDIC 6710/07	Application Pursuant to Section 19 of the Federal Deposit Insurance Act.	⁽⁴⁾	3064–0018
FDIC 6810/01	Notification of Addition of a Director or Employment of a Senior Executive Officer.	333.2	3064–0097
FDIC 6822/01	Notice of Acquisition of Control	303.4(b)	3064–0019
FDIC 8020/05	Summary of Deposits	304.5(a)	3064–0061
FFIEC 001	Annual Report of Trust Assets	304.5(c)	3064–0024
FFIEC 002	Report of Assets and Liabilities of U.S. Branches and Agencies of Foreign Banks.	304.5(d)	7100–0032
FFIEC 004	Report on Indebtedness of Executive Officers and Principal Shareholders and their Related Interests to Correspondent Banks.	304.5(e)	3064–0023
FFIEC 009	Country Exposure Report	351.3(b)	3064–0017
FFIEC 009a	Country Exposure Information Report	351.3	3064–0017
FFIEC 019	Country Exposure Report for U.S. Branches and Agencies of Foreign Banks.	⁽⁵⁾	3064–0017
FFIEC 030	Foreign Branch Report of Condition	347.6(b)	3064–0011
FFIEC 031	Consolidated Reports of Condition and Income for a Bank with Domestic and Foreign Offices.	304.4	3064–0052
FFIEC 032	Consolidated Reports of Condition and Income for a Bank with Domestic Offices Only and Total Assets of \$300 Million or More.	304.4	3064–0052
FFIEC 033	Consolidated Reports of Condition and Income for a Bank with Domestic Offices Only and Total Assets of \$100 Million or More But Less Than \$300 Million.	304.4	3064–0052
FFIEC 034	Consolidated Reports of Condition and Income for a Bank with Domestic Offices Only and Total Assets of Less than \$100 Million.	304.4	3064–0052
FFIEC 035	Monthly Consolidated Foreign Currency Report of Banks in the United States.	⁽⁶⁾	1557–0156
GFIN	Notice of Government Securities Broker or Government Securities Dealer Activities to be Filed by a Financial Institution Under Section 15C(a)(1)(B).	⁽⁷⁾	1535–0089
GFIN–W	Notice by Financial Institutions of Termination of Activities as a Government Securities Broker or Government Securities Dealer.	⁽⁷⁾	7100–0224
GFIN–4	Disclosure Form for Person Associated With a Financial Institution Government Securities Broker or Dealer.	⁽⁷⁾	1535–0089
GFIN–5	Uniform Termination Notice for Person Associated With a Financial Institution Government Securities Broker or Dealer.	⁽⁷⁾	1535–0089
MSD 4	Uniform Application for Municipal Securities Principal or Municipal Securities Representative Associated With a Bank Municipal Securities Dealer.	343.3	3064–0022
MSD 5	Uniform Termination for Municipal Securities Principal or Municipal Securities Representative Associated With a Bank Municipal Securities Dealer.	343.3	3064–0022
TA–1	Transfer Agent Registration and Amendment Form ..	341.6	3064–0026

Notes:

¹ Not referenced in 12 CFR chapter III. The report form is submitted by each individual director or officer of a proposed or operating bank applying to the FDIC for federal deposit insurance as a state nonmember bank, or by a person proposing to acquire ownership or control of an insured state nonmember bank.

² The report form can be obtained from the HMDA Assistance line by telephoning (202) 452–2016.

³ Not referenced in 12 CFR chapter III. The application form is submitted by insured state nonmember banks applying for FDIC consent to exercise trust powers.

⁴ Not referenced in 12 CFR chapter III. The application form is submitted by FDIC-insured banks applying for FDIC consent to employ persons who have been convicted of crimes involving dishonesty or breach of trust.

⁵ Not referenced in 12 CFR chapter III. The report form is submitted by state chartered and federally-licensed branches and agencies of foreign banks in the U.S. with \$30 million or more in total direct claims on foreign residents. The Federal Reserve Board collects and processes the report on behalf of FDIC-supervised branches. The report is submitted quarterly to the appropriate Federal Reserve district bank.

⁶Not referenced in 12 CFR chapter III. The report form is submitted by banks (other than savings banks) and bank holding companies with a dollar equivalent of \$100 million or more in assets, liabilities, foreign exchange contracts bought and foreign exchange contracts sold in any six specific foreign currencies as of the end of a month. The Office of the Comptroller of the Currency collects and processes this monthly report on behalf of insured state nonmember banks.

⁷Not referenced in 12 CFR chapter III. The report form is submitted by banks or persons associated with banks required to file under section 15C of the Securities and Exchange Act of 1934.

[62 FR 4897, Feb. 3, 1997]

PARTS 305–306 [RESERVED]

PART 307—NOTIFICATION OF CHANGES OF INSURED STATUS

Sec.

307.1 Certification of assumption of deposit liabilities.

307.2 Notice to be given when deposit liabilities are not assumed.

AUTHORITY: Sec. 2, Pub. L. 797, 64 Stat. 879, 880 as amended by secs. 202, 204, Pub. L. 89–694, 80 Stat. 1046, 1054, and sec. 6(c)(14), Pub. L. 95–369, 92 Stat. 618 (12 U.S.C. 1818(a), 1818(o)); sec. 304, Pub. L. 95–630, 92 Stat. 3676 (12 U.S.C. 1818(q)); sec. 9, Pub. L. 797, 64 Stat. 881 (12 U.S.C. 1819).

§ 307.1 Certification of assumption of deposit liabilities.

Whenever the deposit liabilities of an insured bank or insured branch of a foreign bank are assumed by another insured bank (whether by merger, consolidation, or other statutory assumption, or by contract), the assuming or resulting bank shall certify to the FDIC that it has agreed to assume the deposit liabilities of the bank whose deposits were assumed. The certification shall be made within 30 days after the assumption takes effect and shall state the date the assumption took effect. This certification shall be considered satisfactory evidence of the assumption.

[48 FR 24031, May 31, 1983]

§ 307.2 Notice to be given when deposit liabilities are not assumed.

Any insured bank or insured branch of a foreign bank whose insured status is voluntarily terminated, but whose deposit liabilities are not assumed shall give notice to each of its depositors of the date of the termination of its insured status under the Federal Deposit Insurance Act. The notice to depositors shall be given in a form, in a manner and at a time approved by the appropriate FDIC Regional Direc-

tor. The FDIC may require the bank to take other steps that it considers necessary for the protection of depositors.

[48 FR 24031, May 31, 1983]

PART 308—RULES OF PRACTICE AND PROCEDURE

Subpart A—Uniform Rules of Practice and Procedure

Sec.

308.1 Scope.

308.2 Rules of construction.

308.3 Definitions.

308.4 Authority of Board of Directors.

308.5 Authority of the administrative law judge.

308.6 Appearance and practice in adjudicatory proceedings.

308.7 Good faith certification.

308.8 Conflicts of interest.

308.9 Ex parte communications.

308.10 Filing of papers.

308.11 Service of papers.

308.12 Construction of time limits.

308.13 Change of time limits.

308.14 Witness fees and expenses.

308.15 Opportunity for informal settlement.

308.16 FDIC's right to conduct examination.

308.17 Collateral attacks on adjudicatory proceeding.

308.18 Commencement of proceeding and contents of notice.

308.19 Answer.

308.20 Amended pleadings.

308.21 Failure to appear.

308.22 Consolidation and severance of actions.

308.23 Motions.

308.24 Scope of document discovery.

308.25 Request for document discovery from parties.

308.26 Document subpoenas to nonparties.

308.27 Deposition of witness unavailable for hearing.

308.28 Interlocutory review.

308.29 Summary disposition.

308.30 Partial summary disposition.

308.31 Scheduling and prehearing conferences.

308.32 Prehearing submissions.

308.33 Public hearings.

308.34 Hearing subpoenas.

308.35 Conduct of hearings.

308.36 Evidence.

308.37 Post-hearing filings.